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US Dept. of Commerce Pat. & Trademark Office

Attorney's Docket No.

23388

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 USC 371

US. Application No. (if known)

10/553562

INTERNATIONAL APP. NO.

PCT/DE2004/000780

INTERNATIONAL FILING DATE

15 April 2004

PRIORITY DATE CLAIMED

22 April 2003

TITLE OF INVENTION

METHOD FOR PRODUCING A STRAINED LAYER ON A SUBSTRATE AN...

APPLICANT(S) FOR DO/EO/US

Siegfried MANTL et al

Applicant herewith submits to the United States Designated/Elected Office (DO/EU/US) the following .

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 USC 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 USC 371.
3. ☐ This is an express request to begin national examination procedures (35 USC 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 USC 317(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 USC 371(c)(2)).
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau.
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Patent Office.
6. ☒ A translation of the International application into English.
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 USC 371(c)(3)).
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau.
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 USC 371(c)(3).
9. ☒ An oath or declaration of the inventor(s) (35 USC 371(c)(4).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 USC 371(c)(5)).

Items 11. to 16. below concern documents or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An Assignment for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
 ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items of information.

Drawing (2 sheets)

References

PTO-1449

17. The following fees are submitted:
Basic National Fee (37 CFR 1.492(a)(1)-(5):
Search report has been prepared by the EPO or JP \$950.00

Int'l prel. exam. fee paid to USPTO (37 CFR 1.482) \$750.00

No int'l prel. exam. fee paid to USPTO (37 CFR 1.482)
but int'l search fee paid to USPTO (37 CFR 1.445(a)(2)) \$790.00

Neither int'l prel. exam fee (37 CFR 1.482) nor
int'l search fee (37 CFR 1.455(a)(2)) paid to USPTO \$1000.00

Intl. prel. exam. fee paid to USPTO (37 CFR 1.482)
and all claims satisfied provisions of PCT Art. 33(2-4) \$200.00

ENTER APPROPRIATE BASIC FEE AMOUNT

CALCULATIONS PTO USE ONLY

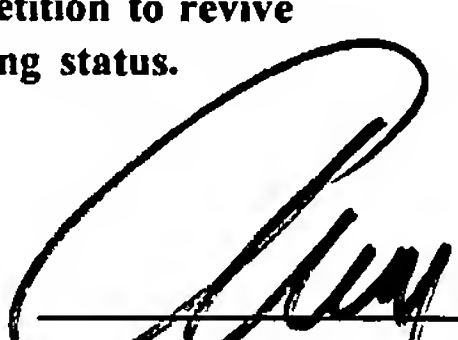
Surcharge of \$130.00 for furnishing oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
CLAIMS	NO. FILED	NO. EXTRA	RATE		
Total claims	60	40	\$2,000		
Ind. claims					
MULTIPLE DEP. CLAIM(S) (if applicable) (see prel. amt.)			360		
TOTAL OF ABOVE CALCULATIONS				\$3,360	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (37 CFR 1.2, 1.27, 1.28)				\$0	
SUBTOTAL				\$3,360	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).					
TOTAL NATIONAL FEE				\$3,360	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The Assignment may be accompanied by an appropriate PTO-1595 cover sheet (37 CFR 3.28, 3.39)				\$40	
TOTAL FEES ENCLOSED				\$3,400	
				Amt to be refunded	
				Amt to be charged	

a. ☐ A check in the amount of \$0 to cover the above fees is enclosed
b. ☐ Please charge my deposit account 18-2025 \$00.00 to cover the above fees. A copy of this sheet is enclosed.
c. ☒ Please charge the amount due to the credit card identified in the attached PTO-2038.
d. ☒ The commissioner is authorized to charge any additional fees which may be required or credit any overpayment to deposit account 18-2025. A copy of this sheet is enclosed
e. ☒ A PTO-2038 in the amount of \$40 to cover recordal of the Assignment is enclosed

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

Send all correspondence to:

The Firm of Karl F. Ross P.C.
5676 Riverdale Ave. Box 900
Riverdale (Bronx), NY 10471


Andrew Wilford, Reg. No. 26,597

23388

10/553562
I hereby certify that I have deposited this correspondence with the US Postal Service as first class mail, postage paid, and will be delivered by first class mail, as express mail addressed to Comm. of Patents, Box 1450, Alexandria, VA 22313-1450 on
OCT 18 2005

IN THE U.S. PATENT AND TRADEMARK OFFICE

REV701300005

Inventor Siegfried MANTL et al
Patent App. US Nat'l phase of PCT/DE2004/000780
Filed Concurrently herewith
For METHOD FOR PRODUCING A STRAINED LAYER ON A SUBSTRATE ...

Hon. Commissioner of Patents
Box 1450 Alexandria, VA 22313-1450

RECORD OF TRANSMITTAL--PCT APPLICATION

■	PCT Transmittal	
■	PCT Application	
■	Translation	
■	Sheets of Drawing (2)	
■	PCT Declaration	
■	PCT Documents	
■	International Search Report	
■	Preliminary Amendment	
■	Assignment (with PTO-1595 and sep. PTO-2038)	
■	Reference(s) with PTO-1449	
■	PTO-2038 for Official Fees	
■	Basic Fee (Large Entity)	\$1000.00
	<input type="checkbox"/> Ind. claims in excess of 3	\$00.00
	■ 40 claims in excess of 20	\$2000.00
	■ Multiply dependent claim(s) present	\$360.00
	Total	\$3360.00

Please charge any fees not covered by an enclosed PTO-2038 to account 18-2025 of the undersigned.

18 October 2005

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Respectfully submitted,
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